

fful

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (Case No. 02-1133-C)

In application of)
Primiano et al.) Examiner: Lynn Anne Bristol
Serial No.: 10/692,303))
Filed: October 23, 2003) Group Art Unit: 1643
For: Antibody-Mediated Induction Of Tumor Cell Death) Confirmation No.: 7346

TRANSMITTAL LETTER

Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

Sir:

In regard to the above-identified application:

- 1. We are transmitting herewith the attached
 - a. PTO Form 1449
 - b. References
- 2. With respect to additional fees:
 - a. No additional fee is required.
- Please charge the full amount due, or credit any overpayment, to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
- 4. CERTIFICATE UNDER 37 C.F.R. 1.8: The undersigned hereby certifies that this Transmittal Letter and this paper, as described in paragraph 1 herein above, are being deposited with the United States Postal Service, with sufficient postage as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on this 26th day of February 2007

By:

Kevin E. Noonan, Ph.D.

Reg No. 35,303

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

				Applio	cation N	umber	-	10692303			
			Filing Date			2003-10-23					
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				<u> </u>	First Named Inventor T. Primiano					_	
				Art Ur	Art Unit			1643			
(Not for :	subm Ø	Spion under 37 CFR	1.99)	Exam	Examiner Name Lynn A			Anne Bristol			
/		30		Attorn	ney Doc	ket Numbe	r	02-1133-C			
1		R 0 1 2007						1,			
`	A PARTY	E Company									
		HADEMIN			Ų.S.	PATENTS			,		
Examiner Cite Kind		Issue C	Issue Date Name of Pate of cited Docur			sument		Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear			
	1										
If you wish	h to a	dd additional U.S. Pate	nt citation	n inform	ation pl	ease click t	he Ad	dd button.		.,,	
			U.S.P	ATENT	APPLI	CATION PU	JBLIC	CATIONS			-
I Publication Number I I			Publica Date	Publication Name of Patent Date of cited Docume							
	1										, a
If you wish	h to ac	ı dd additional U.S. Publ	ished Ap	plication	n citation	l n informatio	n ple	ase click the Add	button.		
		1.000				ENT DOC			·		
Examiner Cite Foreign Document Country Number³ Code² i			Kind Code ⁴	Publication Date	1 A	lame of Patentee applicant of cited ocument	y N	ages,Columns,Lines here Relevant assages or Relevant igures Appear	T5		
	1										
If you wish	h to ac	l dd additional Foreign P	atent Do	cument	citation	information	plea	se click the Add	button	- V (9-11)	L.
						RATURE [
Examiner Initials*	Cite No	Include name of the a (book, magazine, jour publisher, city and/or	nal, seria	ıl, symp	osium,	catalog, etc	of the	e article (when a te, pages(s), volu	opropria ime-issu	te), title of the item le number(s),	T5

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number		10692303	
Filing Date		2003-10-23	
First Named Inventor T. Pri		rimiano	
Art Unit		1643	
Examiner Name Lynn		Anne Bristol	
Attorney Docket Number		02-1133-C	_

1	Bateman et al., Outline structure of the human L1 cell adhesion molecule and the sites where mutations cause neurological disorders, 1996, EMBO J. 15: 6050-6059	
2	Chen et al., Prevention of neuronal cell death by neural adhesion molecules L1 and CHL1, 1999, J. Neurobiol. 2: 428-39	
3	Kamiguchi et al., Role of L1 in neural development: what the knockouts tell us, 1998, Mol. Cell. Neurosci. 12: 48-55	
4	Thies et al., Overexpression of the cell adhesion molecule L1 is associated with metastasis in cutaneous malignant melanoma, 2002, Eur. J. Cancer 3:17 08-1716	
5	Miyahara et al., Expression of neural cell adhesion molecules (polysialylated form of neural cell adhesion molecule and L1-cell adhesion molecule) on resected small cell lung cancer specimens: in relation to proliferation state, 2001, J. Surg. Oncol. 22: 49-54	
6	Kowitz et al., Expression of L1 cell adhesion molecule is associated with lymphoma growth and metastasis, 1993, Clin. Exp. Metastasis 11: 41 9-429	
7	Itoh et al., A novel monoclonal antibody against carbohydrates of L1 cell adhesion molecule causes an influx of calcium in cultured cortical neurons, 1992, Brain Res. 15: 233-240	
8	Klinz et a1.,L1 and N-CAM antibodies trigger protein phosphatase activity in growth cone-enriched membranes, 1995, J. Neurochem. 65: 84-95	
9	Izumoto et al., Gene expression of neural cell adhesion molecule L1 in malignant gliomas and biological significance of L1 in glioma invasion, 1996, Cancer Res. 56: 1440-1444	
10	Schaefer et al., Activation of the MAPK Signal Cascade by the Neural Cell Adhesion Molecule L1 Requires L1 Internalization, 1999, J. Biol. Chem. 274: 37965-37973	
11	Di Sciullo et al., L1 antibodies block lymph node fibroblastic reticular matrix remodeling in vivo, 1998, J. Exp. Med., 1953-1963	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number		10692303
Filing Date		2003-10-23
First Named Inventor T. Prin		imiano
Art Unit		1643
Examiner Name	Lynn	Anne Bristol
Attorney Docket Number		02-1133-C

	12	Hoefnagel et al., A comparison of ta therapeutic efficacy in a neuroblasto Med. 28:359-368,2001	geting of neuroblastoma with mIBG and anti L1-CAM antibody mAb chCE7: ma xenograft model and imaging of neuroblastoma patients, 2001, Eur. J. Nucl.	
	13	Roninson et al., If not apoptosis, the 2001, Drug Resistance Updates 4: 3	n what? Treatment-induced senescence and mitotic catastrophe in tumor cells, 03-3 13	
	14	Harries and Smith, The developmen	and clinical use of trastuzumab (Herceptin), 2002, Endocr. Relat. Cancer 9: 75-85	
	15	Schrnid et al., A MAP kinase-signalii endocytosis, 2000, J. Neuorsci. 2: 4	ng pathway mediates neurite outgrowth on L1 and requires Src-dependent 177-4188	
	16	Dahrne et al., Disruption of the mous 346-349	e L1 gene leads to malformations of the nervous system, 1997, Nat. Genet. 17	
	17	Accession No. NM_000425.2.		
	18	Oravcova et al., Drug-protein bindinç B 30 677: 1-27	sites. New trends in analytical and experimental methodology, 1996, J. Chromat.	
	19		oral bioavailability of 19-nortestosterone progestins in vivo from their metabolic reparations in vitro, 1998, DRUGM ETABOLISAMN D DISPOSITIOVNo, I. 26, pp.	
	20	International Search Report from cor	responding PCT application WO2004/037198	
If you wis	h to a	d additional non-patent literature	document citation information please click the Add button	
			EXAMINER SIGNATURE	
Examiner	Signa	ure	Date Considered	
*EXAMIN citation if	ER: In	tial if reference considered, wheth conformance and not considered.	er or not citation is in conformance with MPEP 609. Draw line through a Include copy of this form with next communication to applicant.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number		10692303	
Filing Date		2003-10-23	
First Named Inventor	T. P	rimiano	
Art Unit		1643	
Examiner Name Lynn		Anne Bristol	
Attorney Docket Number		02-1133-C	

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.
⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.
⁵ Applicant is to place a check mark here if English language translation is attached.

Application Number 10692303 Filing Date 2003-10-23 INFORMATION DISCLOSURE First Named Inventor T. Primiano STATEMENT BY APPLICANT Art Unit 1643 (Not for submission under 37 CFR 1.99) Lynn Anne Bristol **Examiner Name** Attorney Docket Number 02-1133-C MAR 0 1 2007 **CERTIFICATION STATEMENT**

	TRAD						
Plea	ase see 37 CFR 1	.97 and 1.98 to make the appropriate selection	on(s):				
X	from a foreign p	of information contained in the information of content office in a counterpart foreign applications osure statement. See 37 CFR 1.97(e)(1).					
OR							
	foreign patent of after making rea any individual d	information contained in the information diffice in a counterpart foreign application, and isonable inquiry, no item of information containsignated in 37 CFR 1.56(c) more than thread the contains of the con	d, to the knowledge of the lined in the information dis	e person signing the certification closure statement was known to			
	See attached ce	rtification statement.					
	Fee set forth in 3	37 CFR 1.17 (p) has been submitted herewith					
	None						
		SIGNAT	URE				
	ignature of the ap n of the signature.	plicant or representative is required in accord	lance with CFR 1.33, 10.18	3. Please see CFR 1.4(d) for the			
Sigr	nature		Date (YYYY-MM-DD)				
Nan	ne/Print		Registration Number				

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
 court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
 negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
 - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.